



I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

Dated: June 21, 2004

Signature:

  
(Andrew T. Zidel)

Docket No.: TYCOTE 3.0-003  
(PATENT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  
Zhang et al.

Application No.: 10/796,930

Group Art Unit: 2872

Filed: March 10, 2004

Examiner: Not Yet Assigned

For: METHODS AND APPARATUS FOR  
POLARIZATION CONTROL

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

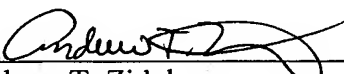
Dear Sir:

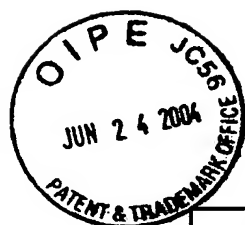
It is respectfully requested that the references listed on the enclosed form be made of record and considered with respect to the above-referenced U.S. patent application. In accordance with the notice at 1276 O.G. 55, copies of U.S. patent references are not enclosed herewith; copies of non-U.S. patent references are submitted herewith. Submission of the present Information Disclosure Statement should not be taken as an admission that the cited references are legally available prior art or that the same are pertinent or material.

In the event that any fee is due in connection with the present Information Disclosure Statement, the Commissioner is hereby authorized to charge the same to our Deposit Account No. 12-1095.

Dated: June 21, 2004

Respectfully submitted,

By   
Andrew T. Zidel  
Registration No.: 45,256  
LERNER, DAVID, LITTENBERG,  
KRUMHOLZ & MENTLIK, LLP  
600 South Avenue West  
Westfield, New Jersey 07090  
(908) 654-5000  
Attorney for Applicant



PTO/SB/08a/b (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

<b>Substitute for form 1449A/B/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	10/796,930
				Filing Date	March 10, 2004
				First Named Inventor	Hongbin Zhang
				Art Unit	2872
				Examiner Name	Not Yet Assigned
Sheet	1	of	2	Attorney Docket Number	TYCOTE 3.0-003

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	AA	US-5,111,322	05-05-1992	Bergano et al.	
	AB	US-5,212,743	05-18-1993	Heismann	
	AC	US-6,134,033	10-17-2000	Bergano et al.	
	AD	US-6,342,961 B1	01-29-2002	Bergano et al.	
	AE	US-6,459,515 B1	10-01-2002	Bergano	

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)					

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. \*\*CITE NO.: Those patent(s) or publication(s) which are marked with an double asterisk (\*\*) next to the Cite No. are not supplied because they were previously cited by or submitted to the Office in a prior application relied upon in this application for an earlier filing date under 35 U.S.C. 120. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.		
	CA	Heismann et al., Broadband Reset-Free Automatic Polarisation Controller, Electronics Letters, Vol. 27, No. 4, February 1991, pgs. 377-379.		
	CB	Hill et al., Optical Polarization Division Multiplexing at 4 Gb/s, IEEE Photonics Technology Letters, Vol. 4, No. 5, May 1992, pgs. 500-502.		
	CC	Heismann et al., Automatic Polarisation Demultiplexer for Polarisation-multiplexed Transmission Systems, Electronics Letters, Vol. 29, No. 22, October 1993, pgs. 1695-1696.		
	CD	Agilent 11896A and 8169A Polarization Controllers Product Overview, Agilent Technologies, Inc. ©1994, 2002.		
	CE	Heismann, Analysis of a Reset-Free Polarization Controller for Fast Automatic Polarization Stabilization in Fiber-optic Transmission Systems, Journal of Lightwave Technology, Vol. 12, No. 4, April 1994, pgs. 690-699.		
	CF	Bergano et al., Wavelength Division Multiplexing in Long-Haul Transmission Systems, Journal of Lightwave Technology, Vol. 14, No. 6, June 1996, pgs. 1299-1308.		
	CG	Endless Polarization Stabilizer, General Photonics Corp., ©2000. Retrieved from the internet: < <a href="http://www.generalphotonics.com/PolaStay.htm">www.generalphotonics.com/PolaStay.htm</a> > on 1/15/04.		
	CH	Ito et al., 6.4 Tb/s (160x40 Gb/s) WDM Transmission Experiment with 0.8 bit/s/Hz Spectral Efficiency, Proceedings ECOC, Vol. 5, September 2000.		
	CI	Shieh et al., Dynamic Eigenstates of Polarization, IEEE Photonics Technology Letters, Vol. 13, No. 1, January 2001, pgs. 40-42.		
	CJ	Lithium Niobate Polarization Controller; Preliminary Data Sheet, Agere Systems, ©July 2002.		
	CK	Sunnerud et al., Polarization-Mode Dispersion in High-Speed Fiber-Optic Transmission Systems, Journal of Lightwave Technology, Vol. 20, No. 12, December 2002, pgs. 2204-2219.		
	CL	Ikeda et al., Endless Tracking Polarization Controller, Furukawa Review No. 23, April 2003.		

Examiner Signature	Date Considered
-----------------------	--------------------

Substitute for form 1449A/B/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/796,930
				Filing Date	March 10, 2004
				First Named Inventor	Hongbin Zhang
				Art Unit	2872
				Examiner Name	Not Yet Assigned
Sheet	2	of	2	Attorney Docket Number	TYCOTE 3.0-003

	CM	Davidson et al., Polarization Tracking Receiver Demonstration Over Transoceanic Distance, Retrieved from the internet: <www.furukawa.co.jp/review/fr023/fr23-07.pdf > on 12/8/03.	
	CN	Shih-tse Hu et al., Low-PDG Raman Amplification via 10 GHz Polarization Sweeping with LiNbO3 Phase Modulator, Optical Society of America, ©2002.	
	CO	Automated Endless Polarization Control System, Ipitek, Integrated Photonics Technology, ©2002.	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--